

SPECIFICATIONS FOR REDUCTION IN FORCE (RIF) SYSTEM

1 OBJECTIVE

To develop a retention service credit for performance ratings that incorporates the revised OPM Performance Appraisal changes. This retention service credit for performance rating will be accessible from the National Finance Center's Reduction-in-Force (RIF) program durable for all agencies serviced under the National Finance Center in compliance with OPMS rules and regulations.

II PROPOSED SYSTEM

The current RIF program does not take into account the different patterns of summary rating levels when providing employees additional retention service credit based on performance in reduction in force competition. The proposed system will allow entry of variable rating patterns which will be used in the determination of retention service credit for performance ratings. These changes are necessary to adhere to of the regulations. The basic RIF factors of tenure, veterans' preference, seniority, remain the same, however, the different performance rating patterns throughout the agencies must be recognized.

With the recommendations in this package, the basic procedures for producing RIF registers will be:

A Upon entrance to the RIF system, user will be prompted for:

- 1 the selection criteria to identify the group(s) of competing employees for the register; and,
- 2 the values assigned to the rating pattern levels for use in determining additional service credit for performance ratings.

(Refer to Section III for information on User Entry.)

B System will gather all the data elements for the group(s) of competing employees meeting the selection criteria. (See Section IV and Attachment 1 for database field listing.)

C System will assign/determine retention groups for each

employee based on tenure and veteran preference. (See Section V on Determination of Retention Group.)

D Based on the values assigned by the agency for their rating pattern, the system will give each rating of record within the past four year the assigned value. These values will be used to determine the additional service credit based on performance ratings. (See Section VI on Determination of Additional Service Credit.)

E System will determine a MODAL rating based on the summary of ratings for the competing group and assign this MODAL rating to employees who have no rating of record within the past four years. (See section VII on Determination of Modal Rating.)

F The system will add the additional service credit based on the performance ratings or modal rating onto the service computation dates for RIF.

G System will produce the RIF register by retention group and length of service augmented by performance credit.

H The system will also produce reports showing the factors that were considered in determining the retention groups and determining the additional service credit for performance ratings. (See section IX on RIF reports.)

These steps are explained in more detailed in the succeeding sections.

III USER ENTRY

A Selection Criteria. Users will be prompted to enter the selection criteria to identify the group(s) of competing employees for the RIF register. Following is a list of data elements that the users will be prompted to enter:

DATA ELEMENT	ENTRY	VALUE
POI NUMBER	OPTIONAL	RANGE FROM 0000 TO 9999
TYPE OF SERVICE	MANDATORY	COMPETITIVE OR EXCEPTED

ORGANIZATIONAL CODE	OPTIONAL	RANGE FROM ORG_AGCY TO LEVEL 8
COMPETITIVE LEVEL CODE (from PMSO)	OPTIONAL	RANGE FROM 0000 TO 9999
OCCUPATIONAL SERIES	OPTIONAL	RANGE FROM 0000 TO 9999
DATA ELEMENT	ENTRY	VALUE
PAY PLAN	OPTIONAL	RANGE FROM AA TO ZZ
GRADE	OPTIONAL	RANGE FROM 01 TO 15
SUPERVISORY CODE	OPTIONAL	RANGE FROM 2 TO 8
DUTY STATION CODE	OPTIONAL	RANGE
COMBINED METRO STATISTICAL AREA (CMSA)	OPTIONAL	
STANDARD METRO STATISTICAL AREA (SMSA)	OPTIONAL	RANGE FROM 0000 TO 9999

Users will have control of restricting the size of the competing group by entering one or more of the data elements for the selection criteria. The more criteria entered, the more restrictive the group of competing employees.

B Rating Pattern. Users will be prompted to enter the values for their rating pattern specific to their agency. Agencies must decide how many years of retention service credit within an allowable range of 12 to 20 years to assign to particular summary rating levels in their patterns. Once that decision has been made, the user must fill in the appropriate value for this retention register where 'V' equals the value assigned by the agency for that Pattern/Level. The following chart will be displayed by the system for entry/completion of values by the users.

PATTER N	LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5	LEVEL 9 (DOC DEMO)
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A	0	N/A	V	N/A	N/A	V
B	0	N/A	V	N/A	V	N/A
C	0	N/A	V	V	N/A	N/A
D	0	0	V	N/A	N/A	N/A
E	0	N/A	V	V	V	N/A
F	0	0	V	N/A	V	N/A
G	0	0	V	V	N/A	N/A
H	0	0	V	V	V	N/A

NOTE: Credit value of 0 (zero) must be assigned for Level 1 or 2 in any Pattern. An agency may assign credit value in whole numbers ranging from 12 through 20 for any Pattern where Level is 3, 4 or 5. (Replace 'V' with credit value.) N/A means that the level is not applicable for the pattern.

NFC will use the information in this chart to determine the additional service credit for performance as explained in Section VI.

IV DATA ELEMENTS

The data elements to be used in the production of RIF registers are identified below. These elements will be retrieved for each competing employee meeting the selection criteria. A more complete detail field listing with FOCUS element name and format may be found in Attachment 1. These data elements should already be defined to FOCUS.

- A Name and SSN;
- B Official Position Title;
- C Pay Plan, Occupational Series, Grade, and Position Numbers;
- D Tenure Group;
- E Veteran Preference Code;
- F Competitive Level Code;
- G SCD-RIF;
- H Duty Station;
- I Type of Appointment;
- J Supervisory Code;
- K Organizational Codes (ORG-AGCY THROUGH ORG-LEV8);
- L Performance Ratings (three most recent ratings in past four year period).

V DETERMINATION OF RETENTION GROUP

Based on the employee's tenure group and veteran preference code, the system will determine the retention group for each competing employee as follows:

IF TENURE EQUALS:	AND VETERAN PREFERENCE CODE EQUALS:	THEN RETENTION GROUP EQUALS:
0	6	0AD
1	6	1AD
2	6	2AD
IF TENURE EQUALS:	AND VETERAN PREFERENCE CODE EQUALS:	THEN RETENTION GROUP EQUALS:
3	6	3AD
0	2, 3, 4, or 5	0A
1	2, 3, 4, or 5	1A
2	2, 3, 4, or 5	2A
3	2, 3, 4, or 5	3A
0	1	0B
1	1	1B
2	1	2B
3	1	3B

VI DETERMINATION OF ADDITIONAL SERVICE CREDIT FOR PERFORMANCE RATINGS

According to OPM regulations, ratings of record must be used to grant additional retention service credit in a reduction in force. This additional retention service credit for performance is based upon the employee's three most recent ratings of record received during the past 4 year period. In determining this service credit for performance ratings, the

system will use the values assigned by the users in Section III B for their rating pattern. Since OPM has eliminated the use of assumed "fully successful" ratings for missing ratings, the actual rating(s) of record that are available will serve as the sole basis of the employee's credit. Based upon the variables entered by the user for their rating patterns, the system would determine the additional service credit for each employee as follows.

A Review the three most recent ratings received over the past four years (minimum of 1 and maximum of three ratings),

B Assign a value to each rating based upon the rating pattern variables identified by the user,

C Add together the values assigned to each rating and divide by the number of ratings to determine the amount of additional retention service credit. (Fractions must be rounded to the next higher whole number.)

D Add this resulting value which is the additional retention service credit to the service computation date for RIF to arrive at the adjusted SCD date.

E If no ratings are found for an individual, the system will determine a modal rating as explained in Section VII.

NOTE: Special service credit calculations apply to the Department of Commerce Demonstration Project and to the Department of Commerce Alternative Personnel Management System. These systems can be identified where Department equals "CM", and pay plan equals "ZA", "ZP", "ZS", and "ZT". In these systems only, assign a value to the rating pattern A, level 9, as indicated in the chart completed by the user (e.g., 10 years credit value). Add the total credits for the number of ratings of A9 (do not divide by the number of ratings used) for a total of no more than 30 additional years credit. Add this additional retention service credit to the service computation date for RIF to arrive at the adjusted SCD date. If no ratings of A9 are found for an individual, the system will assign a value of zero additional retention service. The use of a modal rating is not appropriate for these systems.

VII DETERMINATION OF MODAL RATING

An employee who has not received any rating of record during the 4 year period shall receive credit for performance based on a modal rating. A modal rating is the most frequent or common rating given most often to the competing employees. The system must determine the modal rating for employees who have no actual rating of record as follows:

A Count the most frequent rating used for the competing employees,

B Assigned this rating to employees who have no ratings of record within the past four years,

C Assign a value to the modal rating based upon the rating pattern variables identified by the user and use as the amount of additional retention service credit.

D Add this additional retention service credit to the service computation date for RIF to arrive at the adjusted SCD date.

VIII ORDER OF RANKING FOR RIF REGISTER

Competing employees who meet the selection criteria shall be ranked on a RIF retention register in the following order.

A By specified sort field. Users will be prompted to select any additional sorts (besides the retention group/adjusted SCD date) which may be required. The default value for each available sort field will be set to 'NO'. Users must take action to change the NO to a YES if the register will require additional sorts.

	SORT FIELD	ORDER	YES	NO
1	Competitive Level Code	Ascending		
2	Occupational Series	Ascending		
3	Grade	Descendin g		
4	Supervisory Code	Ascending		

5	Duty Station	Ascending		
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B By retention group. (See Section V on Determination of Retention Group.)

ORDER OF RANKING	RETENTION GROUP
1	1AD
2	1A
3	1B
4	2AD
5	2A
6	2B
7	3AD
8	3A
9	3B
10	0AD
11	0A
12	0B

C By the adjusted SCD-RIF date as augmented by credit for performance beginning with the earliest service date listed first.

D By last name.

IX RIF REPORTS

The system should print the retention register along with supporting documentation showing what factors were considered in producing the RIF register. The following reports should be the output of the RIF retention process.

A Retention Group Factors. This report should list the factors that were considered in determining the retention group of competing employees. See sample report in Attachment

2.

B Performance Rating Factors. This report should list the ratings that were considered for each competing employee and show the points that were assigned to each rating in the determination of the additional service credit. See sample report in Attachment 3.

C RIF Register. This is the actual RIF register produced in the order specified under Section VIII above. See sample report in Attachment 4.

D Values for Summary Rating Patterns. A report identifying the values assigned to each rating pattern as specified by the user. See sample report in Attachment 5.

In addition to printing the report, a selection should be added to the report screen to give users an option to download the RIF register data file.

(Attachments)

ATTACHMENT 2

SAMPLE REPORT ON RETENTION GROUP FACTORS SHOWING CONVERSION OF
TENURE AND VETERAN PREFERENCE CODES INTO RETENTION GROUP

RETENTION GROUP FACTORS
USED IN PRODUCTION OF RIF REGISTER
PRINTED ON &DATE

NAME	SSN	TENURE GROUP	VETERAN PREFERENCE CODE	ASSIGNED RETENTION GROUP
Burke, Jo	111-11- 1111	1	1	1B
Cat, Jessie	222-22- 2222	1	1	1B
Jones, Dede	333-33- 3333	3	1	3B
Pond, Mia	444-44- 4444	1	6	1AD
Tance, Mike	555-55- 5555	1	2	1A

ATTACHMENT 3

SAMPLE REPORT ON PERFORMANCE RATING FACTORS SHOWING ASSIGNMENT OF SERVICE CREDIT FOR RATINGS AND ADJUSTMENT OF SCD-RIF

PERFORMANCE RATING FACTORS
USED IN PRODUCTION OF RIF REGISTER
PRINTED ON &DATE

EMPLOYEE NAME	RATINGS				ASSIGNED				TOTAL VALUES	AVG PERF	MODAL CREDIT	SCD-RIF RATING	ADJUSTED SCD- RIF
	98	99	00	01	98	99	00	01					
Burke, Joe	-	H4	-	-	-	20	-	-		20	20	-	10/06/97 10/06/77
Cat, Jessie	-		H3	H4	H3	-	12	20	12	44	15	-	04/25/87 04/25/72
Jones, DeDe	-		-	-	-	-	-	-	-	-	-	20	08/21/94 08/21/74
Pond, Mia		H4		-	H4	-	20	-	20	-	40	20	- 03/31/80 03/31/60
Tance, Mike	-		-	H4	H3	-	-	20	12		32	16	- 06/10/68 06/10/52

ATTACHMENT 4

SAMPLE REPORT OF REDUCTION-IN-FORCE REGISTER RANKING COMPETING EMPLOYEES

RIF - REGISTER FOR COMPETING EMPLOYEES
PRINTED ON &DATE

POI: 1811 TYPE OF SERVICE: Competitive

ORGANIZATIONAL CODE:

From HC-06-99-0000-00-00-00-00 to HC-06-99-0000-00-00-00-00

COMPETITIVE LEVEL CODE:

(no selection)

OCCUPATIONAL SERIES:

PAY-PLAN

GRADE:

From 0301 to 0301

From AA to ZZ

From 01 to 15

SUPERVISORY CODE:

DUTY STATION CODE:

CMSA:

SPECIAL COMP. AREA

(DOC):

(no selection)

(no selection)

(no selection)

(no selection)

***	OCC	GRADE	RETN.	ADJUSTED	ORIGINAL	EMPLOYEE NAME	POSITION	RATING
SERIES	GROUP	SCD-RIF	SCD-RIF	SSN	TITLE	VALUES		
						98 99 00 01		

0301	07	1A	06/10/52	06/10/68	Tance, Mike	Admin Spec	-	- 20
					12			
					555-55-5555			
	1B		04/25/72	04/25/87	Cat, Jessie	Admin Spec	-	12 20 12
					222-22-2222			
	1B		10/06/77	10/06/97	Burke, Jo	Admin Spec	-	20 - -
					111-11-1111			

05	1AD	03/31/60	03/31/80	Pond, Mia	Admin
				Spec 20	- 20 -
				444-44-4444	
3B	08/21/74	08/21/94		Jones, DeDe	Admin
				Spec -	- - -
				-	
				333-33-3333	

ATTACHMENT 1

DATABASE FIELD LISTING

	NAME	FOCUS FIELD NAME	USAGE FORMAT
1	COMPETITIVE LEVEL CODE	COMP_LV_CD (PMSO)	A04
2	DUTY STATION	DTY_CITY_CD	P04
		DTY_CNTY_CD	P03
		DTY_STATE_CD	A02
3	GRADE	GRADE	P02
4	MASTER RECORD NUMBER	MR_NO	A06
5	NAME	NAME_LAST	A17
		NAME_FIRST	A12
		NAME_INIT	A12
6	OCCUPATIONAL SERIES	OCC_SER	P04
7	OFFICIAL POSITION TITLE	POS_OFF_TITL	A38
8	ORGANIZATIONAL STRUCTURE CODES	ORG_AGCY	A02
		ORG_LEV2	P02
		ORG_LEV3	P02
		ORG_LEV4	P04
		ORG_LEV5	P02

		ORG_LEV6	P02
		ORG_LEV7	P02
		ORG_LEV8	P02
9	PAY-PLAN	PAY_PLAN	A02
10	PERFORMANCE RATINGS	PERF-EVAL-RT (P011055D0704)	A02
	NAME	FOCUS FIELD NAME	USAGE FORMAT
11	PERFORMANCE RATING YEAR	P_EVL_ANN_YR (P011055C0495)	P02
12	POSITION NUMBER	POS_NO	A08
13	RESIDENCE ADDRESS	ADR_CITY	A20
		ADR_CITY_CD	P04
		ADR_CNTY	P03
		ADR_CTRY_CD	A02
		ADR_CTRY_NAM	A02
		ADR_STREET	A25
		ADR_ZIP_4	A04
		ADR_ZIP_5	A05
14	SCD-RIF	SCD_RIF	YMD
15	SSN	SSNO	P09
16	SUPERVISORY CODE	POS_SUPV_CD	P01
17	TENURE GROUP	TENURE_GROUP	P01
18	TYPE OF APPOINTMENT	TYPE_APPT	P02
19	VETERAN PREFERENCE CODE	VET_PREF_CD	P01

ATTACHMENT 5

SAMPLE REPORT OF RATING PATTERN INDICATING THE VALUES ASSIGNED FOR EACH LEVEL. THIS CHART WOULD BE COMPLETED BY THE USER UPON ENTRY TO THE RIF PROGRAM. THE VALUES ASSIGNED BY THE USER WILL BE USED BY THE SYSTEM TO DETERMINE THE ADDITIONAL SERVICE CREDIT FOR PERFORMANCE.

<i>PATTERN</i>	<i>LEVEL 1</i>	<i>LEVEL 2</i>	<i>LEVEL 3</i>	<i>LEVEL 4</i>	<i>LEVEL 5</i>
<i>A</i>	0	N/A	12	N/A	N/A
<i>B</i>	0	N/A	12	N/A	20
<i>C</i>	0	N/A	12	20	N/A
<i>D</i>	0	0	12	N/A	N/A
<i>E</i>	0	N/A	12	20	20
<i>F</i>	0	0	12	N/A	20
<i>G</i>	0	0	12	20	N/A
<i>H</i>	0	0	12	20	20